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10/803,663	03/18/2004	Jimmie Earl DeWitt JR.	AUS920030548US1	7005
35525 IBM CORP (Y	7590 10/18/2007 A)		EXAM	INER
C/O YEE & ASSOCIATES PC WANG, BEN C			BEN C	
P.O. BOX 8023 DALLAS, TX			ART UNIT PAPER NUMBER	
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

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	Application No.	Applicant(s)	-14
	10/803,663	DEWITT ET AL.	
Office Action Summary	Examiner	Art Unit	
1.	Ben C. Wang	2192	
The MAILING DATE of this communication Period for Reply	appears on the cover sheet w	ith the correspondence address	
A SHORTENED STATUTORY PERIOD FOR REWHICHEVER IS LONGER, FROM THE MAILING. Extensions of time may be available under the provisions of 37 CF after SIX (6) MONTHS from the mailing date of this communication. If NO period for reply is specified above, the maximum statutory provided to reply within the set or extended period for reply will, by some any reply received by the Office later than three months after the rearned patent term adjustment. See 37 CFR 1.704(b).	G DATE OF THIS COMMUNI R 1.136(a). In no event, however, may a n. eriod will apply and will expire SIX (6) MOI tatute, cause the application to become A	CATION.' reply be timely filed NTHS from the mailing date of this communicati BANDONED (35 U.S.C. § 133).	,
Status			
Responsive to communication(s) filed on ∠ This action is FINAL . 2b) Since this application is in condition for all closed in accordance with the practice unc	This action is non-final. Dwance except for formal mat	•	is
Disposition of Claims			
4)	drawn from consideration.		·
Application Papers			
9) The specification is objected to by the Exar 10) The drawing(s) filed on is/are: a) Applicant may not request that any objection to Replacement drawing sheet(s) including the co	accepted or b) objected to the drawing(s) be held in abeyarrection is required if the drawing	nce. See 37 CFR 1.85(a). (s) is objected to. See 37 CFR 1.121	(d).
Priority under 35 U.S.C. § 119			
12) Acknowledgment is made of a claim for force a) All b) Some * c) None of: 1. Certified copies of the priority docum 2. Certified copies of the priority docum 3. Copies of the certified copies of the application from the International Bu * See the attached detailed Office action for a	nents have been received. nents have been received in A priority documents have been reau (PCT Rule 17.2(a)).	opplication No received in this National Stage	
Attachment(s) 1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date 8/24/2007.) Paper No(Summary (PTO-413) s)/Mail Date nformal Patent Application 	

DETAILED ACTION

1. Applicant's amendment dated August 3, 2007, responding to the Office action mailed May 4, 2007 provided in the rejection of claims 1-23, wherein claims 1, 5, 11-13, 15-18, 20-21, and 23 are amended, claims 14, 19, and 22 are canceled.

Claims 1-13, 15-18, 20-21, and 23 remain pending in the application and which have been fully considered by the examiner.

Applicant's arguments with respect to claims rejection have been fully considered but are most in view of the new grounds of rejection – see *Baba et al.* - art made of record, as applied hereto.

Claim Rejections - 35 USC § 101

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

- 2. Claims 21 and 23 are rejected under 35 U.S.C 101 because the claims are directed to non-statutory subject matter.
- 3. **As to claim 21**, a "computer readable medium" is being cited, line 1, to include transmission-type media, light waves, radio frequency etc., cited in P. 48, lines 14-24, in the specifications; the claim is directed to a computer readable medium. However, Applicant defines "computer readable medium" to include "a computer data signal

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embodied in a carrier wave". Signals and carrier waves do not fall within any class of statutory subject matter, and thus the claim is not limited to statutory subject matter.

Please see Interim Guidelines for Examination of Patent Applications for Patent Subject Matter Eligibility (1300 OG 142), Annex IV, Section (C) for details.

4. **As to claim** 23, it is merely further recited as computer readable medium per se, thus, do not cure the deficiency of base claim 21, and also rejected under 35 U.S.C. 101 as set forth above.

Claim Rejections - 35 USC § 103(a)

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this office action:

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 5. Claims 1-13, 15-18, 20-21, and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over by Baba et al. (Pub. No. US 2002/0010733 A1) (hereinafter 'Baba' art made of record) in view of Hussain et al. (Pat. No. US 6,658,416 B1) (hereinafter 'Hussain')
- 6. **As to claim 1** (Currently Amended), Baba discloses a method in a data processing system for autonomically determining execution flow of a computer program, comprising:

- providing a set of hardware registers for identifying a work area for a thread of
 the computer program, wherein the work area stores thread tracking information
 for the thread (e.g., [0029] Any registers in the processor may be assigned as
 the control register group. The stack machine rewrites the control register group
 as needed as it accesses the work area for the current thread according to the
 data in the register group; in this way it executes thread);
- copying thread tracking information from the work area to a buffer using the set
 of hardware registers (e.g., [0003] A stack machine consists of a memory area
 (or stack) where a work area is setup for each thread and a control device
 (hereafter referred to as a 'stack machine controller') which stacks work areas in
 this stack and executes each thread).

Baba does not explicitly disclose retrieving symbolic data for the thread, wherein retrieving symbolic data for the tread includes retrieving symbolic data from an indexed symbolic database by searching the indexed symbolic database for symbolic data based on a process identifier for the thread; generating a call sequence of the computer program based on the symbolic data for the thread.

However, in an analogous art of Apparatus and Method for Creating an Indexed database of Symbolic Data for Use with Trace Data of a Computer Program, Hussain discloses:

 retrieving symbolic data for the thread, wherein retrieving symbolic data for the tread includes retrieving symbolic data from an indexed symbolic database by searching the indexed symbolic database for symbolic data

based on a process identifier for the thread (e.g., Fig. 10A, element of 1005 – Symbolic Data; Fig. 10B, element of 1070 – Symbolic Data; Fig. 13B, element of 1340; Fig. 18, elements 1830 – Search Indexed Database for Symbol Data Matching PID and Address, 1850 – Display Symbolic Data In Accordance With Trace File; Col. 16, Line 30 – Process identification (pid)); and

generating a call sequence of the computer program based on the symbolic data for the thread (e.g., Col. 2, Lines 38-41 – Such designers employ profiling tools to find characteristic code sequences and/or single instructions that require optimization for the available software for a given type of hardware).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time the invention was made to combine the teachings of Hussain into the Baba's system to further provide retrieving symbolic data for the thread, wherein retrieving symbolic data for the tread includes retrieving symbolic data from an indexed symbolic database by searching the indexed symbolic database for symbolic data based on a process identifier for the thread; generating a call sequence of the computer program based on the symbolic data for the thread in Baba system.

The motivation is that it would further enhance the Baba's system by taking, advancing and/or incorporating Hussain's system which offers significant advantages that store symbolic data for loaded modules during or shortly after a performance trace and utilizes the stored symbolic data when performing a performance analysis at later time; the merged symbol file contains information useful in performing symbolic

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resolution of address information in trace files for each instance of a module as once suggested by Hussain (e.g., Abstract).

- 1. **As to claim 2** (incorporating the rejection in claim 1) (Original), Baba discloses the method wherein the set of hardware registers includes a work area register, a work area length register, and a current pointer register (e.g., [0029] Any registers in the processor may be assigned as the control register group. The stack machine rewrites the control register group as needed as it accesses the work area for the current thread according to the data in the register group; in this way it executes thread; Fig. 4 element 22 Register for Stack Head Pointer; Fig. 6 element 33 Work Area for Switching Thread; P. 4, Left-Col., Lines 51-56 A sidetracking component to sidetrack a current register data indicating the current state data of execution of a program stored in a control register group in said stack machine in response to said switching request to switch threads, and stored said current register data of execution in a sidetracking area setup in a current thread).
- 2. **As to claim 3** (incorporating the rejection in claim 2) (Original), Baba discloses the method wherein the work area register includes a pointer pointing to a beginning of the work area for the thread (e.g., [0029] Any registers in the processor may be assigned as the control register group. The stack machine rewrites the control register group as needed as it accesses the work area for the current thread according to the data in the register group; in this way it executes thread; Fig. 4 element 22 Register

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for Stack Head Pointer; Fig. 6 – element 33 – Work Area for Switching Thread; P. 4, Left-Col., Lines 51-56 – A sidetracking component to sidetrack a current register data indicating the current state data of execution of a program stored in a control register group in said stack machine in response to said switching request to switch threads, and stored said current register data of execution in a sidetracking area setup in a current thread).

- 3. **As to claim 4** (incorporating the rejection in claim 2) (Original), Baba discloses the method wherein the work area length register includes one of a size of the work area for the thread or a pointer pointing to an end of the work area for the thread (e.g., [0029] Any registers in the processor may be assigned as the control register group.

 The stack machine rewrites the control register group as needed as it accesses the work area for the current thread according to the data in the register group; in this way it executes thread; Fig. 4 element 22 Register for Stack Head Pointer; Fig. 6 element 33 Work Area for Switching Thread; P. 4, Left-Col., Lines 51-56 A sidetracking component to sidetrack a current register data indicating the current state data of execution of a program stored in a control register group in said stack machine in response to said switching request to switch threads, and stored said current register data of execution in a sidetracking area setup in a current thread).
- 4. **As to claim 5** (incorporating the rejection in claim 2) (Currently Amended), Baba discloses the method wherein the current pointer register includes a pointer pointing to

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a location of the work area where last thread tracking information is written (e.g., [0029] – Any registers in the processor may be assigned as the control register group. The stack machine rewrites the control register group as needed as it accesses the work area for the current thread according to the data in the register group; in this way it executes thread; P. 4, Left-Col., Lines 51-56 – A sidetracking component to sidetrack a current register data indicating the current state data of execution of a program stored in a control register group in said stack machine in response to said switching request to switch threads, and stored said current register data of execution in a sidetracking area setup in a current thread).

- 5. **As to claim 6** (incorporating the rejection in claim 1) (Original), Hussain discloses the method wherein the thread tracking information for the thread includes a plurality of call stack entries for the thread (e.g., Col. 9, Lines 22 –35 Java® stack are used to store the state of Java® method invocations; When a thread invokes a method, the JVM <u>pushes</u> a new frame onto the <u>Java stack</u> of the thread. When <u>the method</u> <u>completes</u>, the JVM <u>pops the frame</u> for that method and discards it).
- 6. **As to claim 7** (incorporating the rejection in claim 6) (Original), Hussain discloses the method wherein each of the plurality of call stack entries is written upon detection of one of a method call and a method return for the thread (e.g., Col. 9, Lines 22 –35 Java® stack are used to store the state of Java® method invocations; When a thread invokes a method, the JVM pushes a new frame onto the Java stack of the

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thread. When the method completes, the JVM pops the frame for that method and discards it).

- 7. **As to claim 8** (incorporating the rejection in claim 7) (Original), Hussain discloses the method wherein each of the plurality of call stack entries includes an address to and an address from which one of the method call and a method return is executed (e.g., Col. 9, Lines 22 –35 Java® stack are used to store the state of Java® method invocations; When a thread invokes a method, the JVM pushes a new frame onto the <u>Java stack</u> of the thread. When the method completes, the JVM pops the frame for that method and discards it).
- 8. **As to claim 9** (incorporating the rejection in claim 8) (Original), Hussain discloses the method wherein each of the plurality of call stack entries further includes additional information, and wherein the additional information includes time stamps and performance monitoring counter values (e.g., Col. 9, Lines 22 –35 Java® stack are used to store the state of Java® method invocations; When a thread invokes a method, the JVM <u>pushes</u> a new frame onto the <u>Java stack</u> of the thread. When <u>the method completes</u>, the JVM <u>pops the frame</u> for that method and discards it; Col. 1, Lines 65-67 Typically, a time-stamped record, where 'time' is defined as any monitonically increasing metric, such as, number of instructions executed, is produced for each such event; Col. 2, Lines 20-22 at each interruption, information is recorded for a predetermined length of time or for a predetermined <u>number of events</u> of interest)

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9. **As to claim 10** (incorporating the rejection in claim 9) (Original), Hussain discloses the method wherein the additional information is compressed with the address to and the address from which one of the method call and a method return is executed when each of the plurality of call stack entries is written (e.g., Col. 9, Lines 22 –35 – Java® stack are used to store the state of Java® method invocations; When a thread invokes a method, the JVM pushes a new frame onto the Java stack of the thread. When the method completes, the JVM pops the frame for that method and discards it).

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10. **As to claim 11** (incorporating the rejection in claim 9) (Currently Amended), Hussain discloses the method wherein the additional information is compressed with the address to and the address from which one of the method call and a method return is executed when the thread tracking information is copied from the work area to a buffer (e.g., Col. 9, Lines 22 –35 – Java® stack are used to store the state of Java® method invocations; When a thread invokes a method, the JVM pushes a new frame onto the Java stack of the thread. When the method completes, the JVM pops the frame for that method and discards it; Fig. 11 – an exemplary diagram of performance trace data that may be stored as a trace file or maintained in the trace buffer; Fig. 15 – a flowchart outlining an exemplary operation of the present invention when generating an indexed database of symbolic data from performance trace data stored in the trace buffer in a dynamic manner).

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11. **As to claim 12** (incorporating the rejection in claim 1) (Currently Amended), Baba discloses the method wherein copying thread tracking information from the work area to a buffer includes copying thread tracking information when a work area overflow occurs (e.g., [0026] – a data processing device contains a stack machine which secures a separate work area for each of a number of threads and executes the various threads while switching between them).

- 12. **As to claim 13** (incorporating the rejection in claim 1) (Currently Amended), Hussain discloses the method wherein the buffer is one of a trace buffer and a consolidated buffer accessible by an application (e.g., Col. 10, Lines 42-47 These trace hooks are employed to send trace data to trace program, which stores the trace data in buffer. The trace data in buffer may be subsequently stored in a file for post-processing, or the trace data may be processed in real time; Fig. 4 element 404 Buffer; Fig. 6 Generate Merge File; Fig. 9 element 910 Merge File).
- 13. As to claim 15 (incorporating the rejection in claim 1) (Currently Amended), Hussain discloses the method wherein the symbolic data matches the process identifier for the thread and the address of one of a method call and a method return for the thread (e.g., Fig. 18, steps 1810, 1820, and 1830; Col. 21, Line 58 through Col. 22, Line 2 As shown in Fig. 18, the operation starts with reading the trace file (step 1810). The process identifier (pid) and address information are obtained form the trace file (step 1820)).

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14. **As to claim 16** (incorporating the rejection in claim 1) (Currently Amended), Hussain discloses the method wherein retrieving symbolic data for the thread includes retrieving symbolic data from one of a directory of the loaded module, a shadow directory, or a loaded module if an address of the loaded module on a disk is known (e.g., Fig. 17, element 1710, 1720; Col. 15, Lines 27-56; Col. 16, Lines 5-18 – the present invention allows for generating symbols out of a different directory than the one from which the system loads the modules; Col. 21, Lines 14-22; Col. 22, Lines 25-34, 41-49).

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15. **As to claim 17** (incorporating the rejection in claim 1) (Currently Amended), Hussain discloses the method wherein generating a call sequence of the computer program includes associating the retrieved symbolic data with the thread tracking information in the buffer (e.g., Fig. 8 – steps 801 – Obtain Interrupted Thread ID, 804 – Identify Method Block Being Interrupted, 806 – Send Trace Information; Col. 9, Lines 22-24 – Java stacks are used to store the state of Java method invocations. When a new thread is launched, the JVM creates a new Java stack for the thread; Fig. 10A – Symbolic Data – Symbolic Name, Offset, Length; Fig. 10B – Symbolic Data (0), Symbolic Data (1), Symbolic Data (2); Fig. 13B – Step – Identify Symbolic Data Using Offset; Fig. 18 – Step 1820 – Obtain Process ID (PID) and Address of Desired Symbol).

16. **As to claim 18** (Currently Amended), Baba discloses a data processing system for autonomically determining execution flow of a computer program, the data processing system comprising:

- providing means for providing a set of hardware registers for identifying a work
 area for a thread of the computer program, wherein the work area stores thread
 tracking information for the thread (e.g., [0029] Any registers in the processor
 may be assigned as the control register group. The stack machine rewrites the
 control register group as needed as it accesses the work area for the current
 thread according to the data in the register group; in this way it executes thread);
- copying means for copying thread tracking information, from the work area to a
 buffer using the set of hardware registers (e.g., [0003] A stack machine
 consists of a memory area (or stack) where a work area is setup for each thread
 and a control device (hereafter referred to as a 'stack machine controller') which
 stacks work areas in this stack and executes each thread).

Baba does not explicitly disclose retrieving means for retrieving symbolic data from the thread, wherein the retrieving means comprises searching means for searching an indexed symbolic database for symbolic data based on a process identifier for the thread; and generating means for generating a call sequence of the computer-program based on the symbolic data for the thread.

However, in an analogous art of Apparatus and Method for Creating an Indexed database of Symbolic Data for Use with Trace Data of a Computer Program, Hussain discloses:

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retrieving means for retrieving symbolic data from the thread, wherein the retrieving means comprises searching means for searching an indexed symbolic database for symbolic data based on a process identifier for the thread (e.g., Fig. 10A, element of 1005 – Symbolic Data; Fig. 10B, element of 1070 – Symbolic Data; Fig. 13B, element of 1340; Fig. 18, elements 1830 – Search Indexed Database for Symbol Data Matching PID and Address, 1850 – Display Symbolic Data In Accordance With Trace File; Col. 16, Line 30 – Process identification (pid)); and

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generating means for generating a call sequence of the computer-program
based on the symbolic data for the thread (e.g., Col. 2, Lines 38-41 – Such
designers employ <u>profiling tools</u> to find characteristic <u>code sequences</u> and/or
single instructions that require optimization for the available software for a
given type of hardware).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time the invention was made to combine the teachings of Hussain into the Baba's system to further provide retrieving means for retrieving symbolic data from the thread, wherein the retrieving means comprises searching means for searching an indexed symbolic database for symbolic data based on a process identifier for the thread; and generating means for generating a call sequence of the computer-program based on the symbolic data for the thread in Baba system.

The motivation is that it would further enhance the Baba's system by taking, advancing and/or incorporating Hussain's system which offers significant advantages

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that store symbolic data for loaded modules during or shortly after a performance trace and utilizes the stored symbolic data when performing a performance analysis at later time; the merged symbol file contains information useful in performing symbolic resolution of address information in trace files for each instance of a module as once suggested by Hussain (e.g., Abstract).

- 17. **As to claim 20** (incorporating the rejection in claim 18) (Currently Amended), Hussain discloses the data processing system wherein the generating means comprises: associating means for associating the retrieved symbolic data with the thread tracking information in the buffer (e.g., Fig. 8 steps 801 Obtain Interrupted Thread ID, 804 Identify Method Block Being Interrupted, 806 Send Trace Information; Col. 9, Lines 22-24 Java stacks are used to store the state of Java method invocations. When a new thread is launched, the JVM creates a new Java stack for the thread; Fig. 10A Symbolic Data Symbolic Name, Offset, Length; Fig. 10B Symbolic Data (0), Symbolic Data (1), Symbolic Data (2); Fig. 13B Step Identify Symbolic Data Using Offset; Fig. 18 Step 1820 Obtain Process ID (PID) and Address of Desired Symbol).
- 18. **As to claim 21** (Currently Amended), Baba discloses a computer program product in a computer readable medium for determining execution flow of a computer program, the computer program product comprising:

first instructions for providing a set of hardware registers for identifying a work
area for a thread of the computer program, wherein the work area stores thread
tracking information for the thread (e.g., [0029] – Any registers in the processor
may be assigned as the control register group. The stack machine rewrites the
control register group as needed as it accesses the work area for the current
thread according to the data in the register group; in this way it executes thread);

second instructions for copying thread tracking information from the work area to
a buffer using the set of hardware registers (e.g., [0003] – A stack machine
consists of a memory area (or stack) where a work area is setup for each thread
and a control device (hereafter referred to as a 'stack machine controller') which
stacks work areas in this stack and executes each thread);

Baba does not explicitly disclose third instructions for retrieving symbolic data for the thread, wherein the third instructions comprises sub-instructions for searching an indexed symbolic database for symbolic data based on a process identifier for the thread; fourth instructions for generating a call sequence of the computer program based on the symbolic data for the thread.

However, in an analogous art of Apparatus and Method for Creating an Indexed database of Symbolic Data for Use with Trace Data of a Computer Program, Hussain discloses:

third instructions for retrieving symbolic data for the thread, wherein the third
instructions comprises sub-instructions for searching an indexed symbolic
database for symbolic data based on a process identifier for the thread (e.g.,

Fig. 10A, element of 1005 – Symbolic Data; Fig. 10B, element of 1070 – .

Symbolic Data; Fig. 13B, element of 1340; Fig. 18, elements 1830 – Search Indexed Database for Symbol Data Matching PID and Address, 1850 – Display Symbolic Data In Accordance With Trace File; Col. 16, Line 30 – Process identification (pid));

fourth instructions for generating a call sequence of the computer program
based on the symbolic data for the thread (e.g., Col. 2, Lines 38-41 – Such
designers employ <u>profiling tools</u> to find characteristic <u>code sequences</u> and/or
single instructions that require optimization for the available software for a
given type of hardware).

Therefore, it would have been obvious to one of ordinary skill in the art, at the time the invention was made to combine the teachings of Hussain into the Baba's system to further provide third instructions for retrieving symbolic data for the thread, wherein the third instructions comprises sub-instructions for searching an indexed symbolic database for symbolic data based on a process identifier for the thread; fourth instructions for generating a call sequence of the computer program based on the symbolic data for the thread in Baba system.

The motivation is that it would further enhance the Baba's system by taking, advancing and/or incorporating Hussain's system which offers significant advantages that store symbolic data for loaded modules during or shortly after a performance trace and utilizes the stored symbolic data when performing a performance analysis at later time; the merged symbol file contains information useful in performing symbolic

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resolution of address information in trace files for each instance of a module as once suggested by Hussain (e.g., Abstract).

19. **As to claim 23** (incorporating the rejection in claim 21) (Currently Amended), Hussain discloses the computer program product wherein the fourth instruction comprises: sub-instructions for associating the retrieved symbolic data with the thread tracking information in the buffer (e.g., Fig. 8 – steps 801 – Obtain Interrupted Thread ID, 804 – Identify Method Block Being Interrupted, 806 – Send Trace Information; Col. 9, Lines 22-24 – Java stacks are used to store the state of Java method invocations. When a new thread is launched, the JVM creates a new Java stack for the thread; Fig. 10A – Symbolic Data – Symbolic Name, Offset, Length; Fig. 10B – Symbolic Data (0), Symbolic Data (1), Symbolic Data (2); Fig. 13B – Step – Identify Symbolic Data Using Offset; Fig. 18 – Step 1820 – Obtain Process ID (PID) and Address of Desired Symbol).

Response to Arguments

20. Applicant's arguments filed on August 3, 2007 have been fully considered but they are not persuasive.

In the remarks, Applicant argues that:

a) The examiner asserts that claims 21-23 are not limited to tangible embodiments.

Examiner's response:

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a) The claims 21 and 23 are not limited to <u>statutory medium</u>, e.g., <u>a recordable type</u> medium (please see page 48 in the specification for details).

Conclusion

21. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ben C. Wang whose telephone number is 571-270-1240. The examiner can normally be reached on Monday - Friday, 8:00 a.m. - 5:00 p.m., EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tuan Q. Dam can be reached on 571-272-3695. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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October 9, 2007